

**State of Connecticut
State Elections Enforcement Commission
20 Trinity Street, Suite 101, Hartford, CT 06106-1628**

Instructions

State Contractor Principals Collection Form

Forms SEEC – SC 1 (Rev. 7/2006) and SC 2 (Rev. 7/2006)

To be completed by or on behalf of any “State Contractor” identified as meeting the financial criteria set forth in the State Contractor Ban on Making or Soliciting Campaign Contributions (pursuant to Public Act 05-05).

General Instructions:

1. Certain information may have been pre-populated in this form by the State Elections Enforcement Commission (SEEC). If any of the information on the form is incorrect, please overwrite or change it with the correct information.
2. Enter the name (First Name, Middle Initial, Last Name) of each “principal” other than a child or spouse and indicate from the Designation Key the relationship of that principal to your organization.
3. Immediately below the name of any principal, indicate the information for any spouse or child (if any) associated with that principal.

For Form SEEC – SC1 (Rev. 7/2006):

4. If there are principals within your organization who are associated with a contract unique to a particular state agency, please provide that information separately in the space provided on the last page.

For Form SEEC – SC 2 (Rev. 7/2006):

5. In the first box, please provide your agency’s contact name, phone number and e-mail who may be contacted by the SEEC regarding the information provided on the form.

If you have any questions, please contact:

Technical Questions

Brian Clonan, Data Processing Manager, brian.clonan@ct.gov, 860-566-1776 X323

Database and Application Questions:

Mann Hasen, Applications Manager, mann.hasen@ct.gov, 860-566-1776 X321

Business Questions:

Hy, Ly, Accounts Examiner, hy.ly@ct.gov, 860-566-1776 X320
Brenda Lou Mathieu, Director of Disclosure and Public Information,
brendalou.mathieu@ct.gov, 860-566-1776 X 307.

Please return the completed form to:
seec.sc.info@ct.gov

Definitions of Applicable Terms:

The law includes the following definition of terms:

State Contract—an agreement or contract with a state agency or quasi public agency, valued at \$50,000 or more in a fiscal year, or a combination of contracts or agreements with more than one agency that is valued at \$100,000 for any of the following:

1. rendition of personal services (e.g. PSAs)
2. furnishing any material, supplies or equipment
3. construction, alteration or repair of any public building or public work
4. acquisition, sale or lease of any land or building
5. a licensing arrangement
6. a grant, loan or loan guarantee

State Contractor—a person, business entity or non profit organization that enters into a contract with any state agency. A state contractor does not include a municipality, a state employee by virtue of his or her state employment, or a labor union by virtue of a collective bargaining agreement. A person, business entity or non profit organization is no longer a state contractor upon termination of the contract.

Principals of a State Contractor that is a Business Entity—

The following are subject to the prohibition on making and soliciting certain campaign contributions:

1. Members of the Board of Directors
2. Individuals owning 5% or more of the business
3. President, Treasurer, Executive and Senior Vice Presidents
4. Employees that have managerial or discretionary responsibilities to administer the state contract
5. Spouses and dependent children of all of the above
6. Any political committee (PAC) registered in Connecticut to make contributions to candidates that has been established by or on behalf of any of the above individuals.

A Business entity includes any corporation, partnership, cooperative, joint venture, trust, or any association of any kind that is engaged in the operation of a business or profit making activity. See Section 9-333a (7), General Statutes.

Principals of a State Contractor that is not a Business Entity

Note: This would include a Non Profit Organization or a sole proprietorship or professional service corporation owned by a single individual.

The following are subject to the prohibition on making and soliciting certain campaign contributions:

1. The Chief Executive Officer
2. Employees that have managerial or discretionary responsibilities to administer the state contract
3. Spouses and dependent children of all of the above
4. Any political committee (PAC) registered in Connecticut to make contributions to candidates that has been established by or on behalf of any of the above individuals.

Category of Principal	Designation
Owner / Shareholder (owning 5% or more stock)	O
Member/Board of Directors	B
President	P
Chief Executive Officer	CEO
Treasurer	T
Executive or Senior Vice-President	V
*Employee	E
Spouse of Principal	S
**Dependent Children of Principal	C

***Employees** that have managerial or discretionary responsibilities” generally refers to higher level personnel who have oversight responsibility for the implementation of the state contract.

****Dependent Child** – Under the Internal Revenue Services (IRS) Code, a qualifying child for whom a dependency exemption has been claimed by a principal on the last federal income tax form filed with the IRS.